

Model State Plan(CSBG)
CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

COVER PAGE

* 1.a. Type of Submission: Other (2 Year)	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation: 2. Date Received: 3. Applicant Identifier: 4a. Federal Entity Identifier: 4b. Federal Award Identifier:	* 1.d. Version: Initial State Use Only: 5. Date Received By State: 6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: Maryland			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 15260002033G3		* c. Organizational DUNS: 028492598	
* d. Address:			
* Street 1:	7800 Harkins Road	Street 2:	
* City:	Lanham	County:	
* State:	MD	Province:	
* Country:	United States	* Zip / Postal Code:	20706 -
e. Organizational Unit:			
Department Name: Department of Housing & Community Development		Division Name: Neighborhood Revitalization	
f. Name and contact information of person to be contacted on matters involving this application:			
Prefix: Mrs.	* First Name: Michelle	Middle Name: W.	* Last Name: Bass
Suffix:	Title: Project Manager	Organizational Affiliation:	
* Telephone Number: (301) 429-7510	Fax Number	* Email: michelle.bass@maryland.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project Community Services Block Grant			
12. Areas Affected by Funding: Statewide			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 04		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			

c. Program is not covered by E.O. 12372.

* 17. Is The Applicant Delinquent On Any Federal Debt?

☐ YES

☒ NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

****I Agree** ☐

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

18a. Typed or Printed Name and Title of Authorized Certifying Official

18c. Telephone (area code, number and extension)

18d. Email Address

18b. Signature of Authorized Certifying Official

18e. Date Report Submitted (Month, Day, Year)

Attach supporting documents as specified in agency instructions.

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

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SECTION 1

CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by [Section 676\(a\)](#) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency	Department of Housing and Community Development		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Other, describe Office of the Secretary of Housing and Community Development			
1.1c. Division, bureau, or office of the CSBG authorized official	Division of Neighborhood Revitalization		
1.1d. Authorized official of lead agency	Kenneth C. Holt		
1.1e. Street Address	7800 Harkins Road		
1.1f. City	Lanham	1.1g. State MD	1.1h. Zip 20706
1.1i. Telephone number and extension (301) 429 - 7452 ext.		1.1j. Fax number: (410) 558 - 6527	
1.1k. Email address kenneth.holt@maryland.gov		1.1l. Lead agency website www.dhcd.maryland.gov	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Department of Housing and Community Development		
1.2b. Name of the point of contact	Stuart P. Campbell		
1.2c. Street address	7800 Harkins Road		
1.2d. City	Lanham	1.2e. State MD	1.2f. Zip 20706
1.2g. Point of contact telephone number (301) 429 - 7522 ext.		1.2h. Fax number () -	
1.2i. Point of contact email address Stuart.campbell@maryland.gov		1.2j. Point of contact agency website www.dhcd.maryland.gov	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

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SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? ☒ Yes ☐ No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? ☐ Yes ☒ No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? ☐ Yes ☒ No

2.4b. Did the State establish or amend regulations for CSBG last year? ☐ Yes ☒ No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? ☒ Yes ☐ No

Section 3: State Plan Development and Statewide Goals

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SECTION 3

State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

The administering agency for the Community Services Block Grant Program is located in the Department of Housing and Community Development under the Division of Neighborhood Revitalization (NR) in the Office of Community Programs (OCP). The mission of the Division of Neighborhood Revitalization is to revitalize and strengthen Maryland's Communities by focusing on local needs, defining opportunity and building on assets through efficient and caring teamwork. Since 1987 DHCD's Office of Community Services has been administering the CSBG Program. OCP staff administrative responsibilities centered on: (1) assessing the continued eligibility of all subgrantees; (2) monitoring the performance and compliance of all subgrantees with federal and State laws and requirements; (3) providing technical assistance, especially with development of computerized tracking systems; and (4) complying with all federal financial and reporting requirements.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

Support Agencies (CAAs) who provide a range of services and activities designed to alleviate poverty and assist the low-income population of the State to achieve and maintain self-sufficiency. A secondary goal of the OCP is to facilitate and encourage the coordination and establishment of linkages among government agencies, social services organizations and the private sector to assure the effective planning and delivery of services to the low-income population of Maryland.

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that apply and narrative where applicable]



State Performance Indicators and/or National Performance Indicators (NPIs)



U.S. Census data



State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)



Other data [describe]



Eligible entity community needs assessments



Eligible entity plans



Other information from eligible entities (e.g., State required reports) [describe]

3.3b. Consultation with [Check all that apply and narrative where applicable]



Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)



State community action association and regional CSBG T&TA providers



State partners and/or stakeholders (describe)



National organizations (describe) National Association for State Community Services Programs and the Community Action Partnership



Federal Office of Community Services



Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

State staff attended the monthly Maryland Community Action Partnership's board meeting and provided updates needed to compile the OLDC Model State plan. During the Maryland Community Action Partnership's Annual Human Services Conference conducted May 3-5, 2016 lead Agency staff conducted a CSBG administrative workshop which included detailed guidance for CAAs to complete their 2017-18 plans. Those plan were due by July 15, 2016. A public hearing was held on August 18, 2016.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

1) to encourage eligible entity participation and

2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form)

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

Provide the State's [target](#) for eligible entity Overall Satisfaction during the performance period: [75](#)

(Note: Item 3.5 is associated with [State Accountability Measure 8S](#) and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

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SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under [Section 676\(e\)\(2\)](#) of the Act.

Public comment on the FFY 2017 and 2018 Community Services Block Grant Plan were sought through two methods. The State distributed a statewide news release (See Attachment 3) stating the availability of the Plan for review both online and at the Lead Agency headquarters. The news release was transmitted to various media sources.

4.2. Public Notice/Hearing:

Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) of the CSBG Act.

The State provided notification and public availability of the draft State Plan as soon as feasible. The Model State Plan was not available for input on the HHS OLDC system until August 1, 2016 limited time available to provide notice and availability of the actual draft State Plan.

4.3. Public and Legislative Hearings:

Specify the [date\(s\)](#) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under [Section 676\(a\)\(2\)\(B\)](#) and [Section 676\(a\)\(3\)](#) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing <small>[Select an option]</small>
1	2/8/2016	Maryland General Assembly - House Appropriations Committee Health and Human Resources Subcommittee	Legislative

4.4. Attach supporting [documentation](#) or a hyperlink for the public and legislative hearings.

Section 5: CSBG Eligible Entities

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SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Allegany County Human Resource Development Commission, Inc.	Nonprofit	Community Action Agency (CAA)	Allegany County	
2	Anne Arundel County Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Anne Arundel County	
3	Mayor's Office of Human - City of Baltimore	Public	Local Government Agency	Baltimore City	
4	Community Assistance Network, Inc.	Nonprofit	Community Action Agency (CAA)	Baltimore County	
5	Community Action Council of Howard County, Inc.	Nonprofit	Community Action Agency (CAA)	Howard County	
6	Delmarva Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Dorchester County	
7	Garrett County Community Action Committee, Inc.	Nonprofit	Community Action Agency (CAA)	Garrett County	
8	Human Services Programs of Carroll County, Inc.	Nonprofit	Community Action Agency (CAA)	Carroll County	
9	Maryland Rural Development Corporation	Nonprofit	Community Action Agency (CAA)	Cecil, Kent, Caroline, Queen Anne's Counties	
10	Montgomery County Community Agency, Inc.	Public	Local Government Agency	Montgomery County	
11	Neighborhood Service Center, Inc.	Nonprofit	Community Action Agency (CAA)	Talbot County	
12	Shore UP!, Inc.	Nonprofit	Community Action Agency (CAA)	Kent, Talbot, Somerset, Wicomico, Worcester Counties	
13	Southern Maryland Tri-County CEC, Inc.	Nonprofit	Community Action Agency (CAA)	Calvert, Charles and St. Mary's Counties	
14	Frederick Community Action Agency, Inc.	Public	Local Government Agency	City of Frederick	
15	United Communities Against Poverty, Inc.	Nonprofit	Community Action Agency (CAA)	Prince George's County	
16	Harford Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Harford County	
17	Washington County Community Action Agency, Inc.	Nonprofit	Community Action Agency (CAA)	Washington County	

5.2 Total number of CSBG eligible entities **17**

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? ☒ **Yes** ☐ **No**

If yes, please briefly describe the changes.

A non-eligible entity funded through state discretionary funds was erroneously included in the prior year's State Plan submission.

Section 6: Organizational Standards for Eligible Entities

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SECTION 6

Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? ☐ Yes ☒ No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

- ☐ Regulation
- ☒ Policy
- ☒ Contracts with eligible entities
- ☐ Other, describe:

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138?[Check all that apply.]

- ☐ Peer-to-peer review (with validation by the State or State-authorized third party)
- ☒ Self-assessment (with validation by the State or State-authorized third party)
- ☐ Self-assessment/peer review with State risk analysis
- ☐ State-authorized third party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

6.4a. Describe the assessment process.

Self-assessments were requested from each Eligible Entity and were reviewed by State staff. An overview of the trends were presented to Eligible Entities at the State Association's annual conference. Additionally, State monitoring staff reviews supporting documentation both in desk monitoring and on-site monitoring.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 ☐ Yes ☒ No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) %

Note: This information is associated with State Accountability Measures 6Sa and may prepopulate the State's annual report form.

Section 7: State Use of Funds

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SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Base + Formula

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? ☒ Yes ☐ No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Allegany County Human Resource Development Commission, Inc.	\$299,446	0.00%	\$299,446	0.00%
2	Anne Arundel County Community Action Agency, Inc.	\$443,855	0.00%	\$443,855	0.00%
3	Mayor's Office of Human - City of Baltimore	\$2,463,843	0.00%	\$2,463,843	0.00%
4	Community Assistance Network, Inc.	\$722,360	0.00%	\$722,360	0.00%
5	Community Action Council of Howard County, Inc.	\$233,173	0.00%	\$233,173	0.00%
6	Delmarva Community Services, Inc.	\$328,375	0.00%	\$328,375	0.00%
7	Garrett County Community Action Committee, Inc.	\$296,124	0.00%	\$296,124	0.00%
8	Human Services Programs of Carroll County, Inc.	\$268,265	0.00%	\$268,265	0.00%
9	Maryland Rural Development Corporation	\$315,862	0.00%	\$315,862	0.00%
10	Montgomery County Community Agency, Inc.	\$615,178	0.00%	\$615,178	0.00%
11	Neighborhood Service Center, Inc.	\$291,237	0.00%	\$291,237	0.00%
12	Shore UP!, Inc.	\$507,252	0.00%	\$507,252	0.00%
13	Southern Maryland Tri-County CEC, Inc.	\$403,780	0.00%	\$403,780	0.00%
14	Frederick Community Action Agency, Inc.	\$265,304	0.00%	\$265,304	0.00%
15	United Communities Against Poverty, Inc.	\$731,291	0.00%	\$731,291	0.00%
16	Harford Community Action Agency, Inc.	\$301,226	0.00%	\$301,226	0.00%
17	Washington County Community Action Agency, Inc.	\$302,834	0.00%	\$302,834	0.00%
Total		\$8,789,405	0.00%	\$8,789,405	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

Step 1: Upon receipt of the notice of grant CSBG award letter from HHS/ACF, State staff provides copies to the Grant Manager and the Finance Department notifying disbursement will be processed under this notice. Duration 1 Day. Step 2: Based on the formula allocation, State staff determines the allocation of the 90% for each eligible entity from the CSBG award. State staff prepares notice of payment of each eligible entity, submits to the CSBG Director for review and approval. State staff notifies each eligible entity about the payment and the amount to be disbursed. Duration 3-5 days Step 3: The CSBG Director submits the notice of payment to the Division Grant Manager, who in turn posts onto their records. At this point, the requests for payment moves on the DHCD Finance Department for further processing. Duration 1-2 days Step 4: The Finance Department reviews payment requests, determine the funding is in place for payments. The Finance Department submits the requests to DHCD Accounting Department for further processing. The Accounting Department makes postings and documents the payments. Duration 5 days Step 5: The Accounting Department finalizes the payments and post onto the States payment processing database (FFMS). Once posted, the Accounting Department submits to the State Comptroller's Office. The Comptroller's Office reviews and finalizes the payment requests. Once the payments are finalized and posted each payment is wire transferred into the Agency's bank accounts. Duration 10 days.

7.4. Distribution Timeframe:
Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award?
☒ Yes
☐ No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated withState Accountability Measure 2Sa and may prepopulate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:
How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated withState Accountability Measure 2Sb and may prepopulate the State's annual report form.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage
☐ \$
☒ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan?
6

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan?
4

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds?
☒ Yes
☐ No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to thecorresponding assurance, Item 14.2.

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated withState Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$0.00	5.00%	\$0.00	5.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	
c. Statewide coordination and communication among eligible entities	\$0.00	15.00%	\$0.00	15.00%	Supporting the State Association and other eligible non-profits. Sponsorship of the annual state association conference.
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	25.00%	\$0.00	25.00%	Supporting Volunteer Income Tax Assistance (VITA) activities.
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$0.00	55.00%	\$0.00	55.00%	Summer Youth Green Job Programs, Job training for individuals experiencing homelessness, and other innovative programs.
g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%	
h. Other activities, specify in column 6	\$0.00	0.00%	\$0.00	0.00%	
Total	\$0.00	100.00%	\$0.00	100.00%	

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9.[Check all that apply and narrative where applicable]

☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds)
6

☒ Other community-based organizations

☒ State Community Action association

☐ Regional CSBG technical assistance provider(s)

☐ National technical assistance provider(s)

<input type="checkbox"/> Individual consultant(s)
<input type="checkbox"/> Tribes and Tribal Organizations
<input type="checkbox"/> Other
<input type="checkbox"/> None (the State will carry out activities directly)
<i>Note: This response will link to the corresponding CSBG assurance, item 14.2.</i>
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>
7.11. Performance Management Adjustment: How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.
<i>Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.</i>

Section 8: State Training and Technical Assistance

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Community Services Block Grant (CSBG)

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SECTION 8

State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
 (CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Sc and may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Both	Organizational Standards - General	
2	Ongoing / Multiple Quarters	Both	ROMA	
3	Ongoing / Multiple Quarters	Both	Governance/Tripartite Boards	
4	Ongoing / Multiple Quarters	Both	Monitoring	
5	Ongoing / Multiple Quarters	Both	Community Assessment	

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$0**

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? ☒ Yes ☐ No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

There are currently no eligible entities with TAPs or QIPs in place.

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

<input checked="" type="checkbox"/>	CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
<input type="checkbox"/>	Other community-based organizations
<input checked="" type="checkbox"/>	State Community Action association
<input type="checkbox"/>	Regional CSBG technical assistance provider(s)
<input checked="" type="checkbox"/>	National technical assistance provider(s)
<input type="checkbox"/>	Individual consultant(s)
<input type="checkbox"/>	Tribes and Tribal Organizations
<input type="checkbox"/>	Other

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form

Section 9: State Linkages and Communication

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 9 State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under [Section 675C\(b\)\(1\)](#) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with [State Accountability Measure 7Sa](#) and may pre-populate the State's annual report form.

☒ State Low Income Home Energy Assistance Program (LIHEAP) office

☒ State Weatherization office

☒ State Temporary Assistance for Needy Families (TANF) office

☒ State Head Start office

☐ State public health office

☐ State education department

☒ State Workforce Innovation and Opportunity Act (WIOA) agency

☐ State budget office

☒ Supplemental Nutrition Assistance Program (SNAP)

☒ State child welfare office

☒ State housing office

☐ Other

[Click paper clip to attach file]

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under [Section 675C\(b\)\(B\)](#) and as required by assurance under [Sections 676\(b\)\(5\)](#) of the CSBG Act. *Attach additional information as needed.*

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

Both the State and the Eligible Entities work with a wide range of state, local, and regional entities to more effectively provide services to low-income households. These linkages include but are not limited to local County and municipal offices, local businesses, local Departments of Social Services, and local and regional associations. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under [Section 676\(b\)\(5\)](#)). *[Attach additional information as needed.]*

Note: This response will link to the corresponding CSBG assurance, item 14.5.

To the degree possible, the State will carry out services integration recommendations to better link the public and private service providers for better, effective customer deliver of services. Through training and technical assistance, the State will provide eligible entities with the tools and opportunity for linkages that increase the effectiveness of service delivery and coordination. In particular, the State is following closely the Two-Generation model of service delivery currently underway at two Eligible Entities. *[Click paper clip to attach file]*

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under [Section 676\(b\)\(3\)\(B\)](#) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

Eligible entities throughout the state are linked with a wide range of service providers. Client needs are identified at intake and referred out if necessary services are unavailable though the eligible entities. Materials on all services available to clients are located through out many eligible entities' public areas. Eligible entities also provide case management and follow-up consultations with clients.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under [Section 676\(b\)\(5\)](#) of the CSBG Act)? ☒ Yes ☐ No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes

a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

The Maryland's WIOA four-year Combined State Plan will coordinate with Maryland DHCD the following: "If a CSBG [Community Services Block Grant] program carries out employment and training activities, then these activities must be accessible at the comprehensive one-stop center, either through a physical presence or through another means of "access" as defined by the regulations in 678.305(d), because these programs are required one-stop partners under sec. 121(b)(1)(B) of WIOA".

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under [Section 676\(b\)\(6\)](#) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.6.

The Maryland Department of Human Resources (DHR) is responsible for administering the Low Income Home Energy Assistance Program in the State of Maryland. DHR contracts with public and non-profit organizations to administer federal energy assistance benefits to low-income households. Included in their policies are rules to assist clients that have a defined energy crisis within 48- or 18-hours in accordance with federal regulations to resolve the crisis.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under [Section 676\(b\)\(9\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

Through training and technical assistance, the State will encourage and assure, to the maximum extent possible, that eligible entities will coordinate with and form partnerships with other organizations that serve low-income populations, including faith-based organizations, charitable groups, and community organizations. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under [Section 676\(b\)\(3\)\(C\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

The State requires that all Eligible Entities indicate in their annual CAP plan all public and private resources that are leveraged by the 90 percent funds.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

The State supports the State Association through Discretionary funds, sponsors and actively participates in the State Association's annual conference, and attends all State Association board meetings.

9.9 Communication with Eligible Entities and the State Community Action Association:

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	State policies	Quarterly	Email	
2	Updates	Monthly	Meetings/Presentation	
3	Funding disbursements	Quarterly	Email	
4	Legislative hearing	Other	Email	Every two years
5	Hearings	Other	Mailing	Every two years
6	Annual Meeting	Annually	Meetings/Presentation	

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with [State Accountability Measure 5S\(iii\)](#). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

During the annual State Association meeting, the State will provide an update on progress on the State Accountability Measures. The State will also, through an Annual Meeting of Eligible Entities, will provide feedback on progress of State Accountability Measures.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 7Sb](#); this response may pre-populate the State's annual report form.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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SECTION 10

Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities

(Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"	
1	Allegany County Human Resource Development Commission, Inc.	No review		08/06/2015		
2	Anne Arundel County Community Action Agency, Inc.	No review		08/11/2015		
3	Mayor's Office of Human - City of Baltimore	Full onsite	FY1 Q3	06/07/2014		
4	Community Assistance Network, Inc.	Full onsite	FY2 Q1	07/10/2014		
5	Community Action Council of Howard County, Inc.	Full onsite	FY1 Q4	07/24/2013		
6	Delmarva Community Services, Inc.	No review		06/23/2015		
7	Garrett County Community Action Committee, Inc.	No review		08/05/2015		
8	Human Services Programs of Carroll County, Inc.	Full onsite	FY1 Q3	07/29/2014		
9	Maryland Rural Development Corporation	Full onsite	FY1 Q1	10/23/2013		
10	Montgomery County Community Agency, Inc.	Full onsite	FY1 Q4	11/12/2013		
11	Neighborhood Service Center, Inc.	Full onsite	FY1 Q3	10/27/2014		
12	Shore UP!, Inc.	Full onsite	FY1 Q4	07/17/2013		
13	Southern Maryland Tri-County CEC, Inc.	Full onsite	FY1 Q1	06/12/2014		
14	Frederick Community Action Agency, Inc.	No review		03/14/2015		
15	United Communities Against Poverty, Inc.	Full onsite	FY1 Q4	11/07/2014		
16	Harford Community Action Agency, Inc.	No review		04/28/2015		
17	Washington County Community Action Agency, Inc.	No review		04/21/2016		

10.2. Monitoring Policies:

Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

Attached. See Section 4- Grant Administration - Page #7.

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

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Corrective Action, Termination and Reduction of Funding and Assurance Requirements

(Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? ☒ Yes ☐ No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.
10.5. Quality Improvement Plans (QIPs): How many eligible entities are currently on Quality Improvement Plans?
<i>Note: The QIP information is associated with State Accountability Measures 4Sc.</i>
0
10.6. Reporting of QIPs: Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP
<i>Note: This item is associated with State Accountability Measures 4Sa(iii).</i>
See CSBG Policies and Procedure Manual - Page # 9 QIP process
10.7. Assurance on Funding Reduction or Termination: Does the State assure, according to Section 676(b)(8) , "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) ". <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>Note: This response will link with the corresponding assurance under item 14.8.</i>
Policies on Eligible Entity Designation, De-designation, and Re-designation
10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.
Article 83B 12-101 (d) of the Annotated Code of Maryland "Community Action Agencies". Authority of governing body with jurisdiction over the community action agency.
10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? <input checked="" type="radio"/> Yes <input type="radio"/> No
10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.
Article 83B 12-101 (d) of the Annotated Code of Maryland "Community Action Agencies". Authority of governing body with jurisdiction over the community action agency.
10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? <input type="radio"/> Yes <input checked="" type="radio"/> No
10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.
Fiscal Controls and Audits and Cooperation Assurance
10.11. Fiscal Controls and Accounting: Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).
Within the CSBG eligible entity grant agreements, it is required by the 10th of each month, a Financial Status Report (FSR) is submitted. The reports are reviewed to ensure adequate tracking of expenditures for each budget stated in the grant agreements. If line items are over expended, the eligible entity must request approval for line item transfers. The DHCD Finance Department posts and tracks expenditures under the State's Financial Management Information System (FMIS); which is a Statewide database system that accounts and posts funding for each CSBG agreement.
10.12. Single Audit Management Decisions: Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR Â§75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK HERE FOR LINK TO 45 CFR Â§75.521
<i>Note: This information is associated with State Accountability Measure 4Sd.</i>
The DHCD Internal Auditor in conjunction with the DHCD's Office of Community Programs coordinate the oversight and management of the eligible entity Single Audits. OMB Uniform Guidance requires single audits are submitted within nine months. Once the single audit has been completed, DHCD request a copy and will download from the Federal Audit Clearinghouse additional information as to when the audit was submitted to FAC. If there are findings cited, or if an eligible entity was found to be a high risk auditee, the State's Office of Community Programs requests a response for any findings and conduct if needed additional oversight.
10.13. Assurance on Federal Investigations: Will the State "permit and cooperate with Federal investigations undertaken in accordance with Section 678D(a) " of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act? <input checked="" type="radio"/> Yes <input type="radio"/> No
<i>If this is the first year filling out the automated State Plan, skip the following question.</i>
10.14. Performance Management Adjustment: How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.
<i>Note: This item is associated with State Accountability Measure 4Sband may pre-populate the State's annual report form.</i>

Section 11: Eligible Entity Tripartite Board

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SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under [Section 676B](#) of the CSBG Act? *[Check all that applies and narrative where applicable]*

- ☒ Attend Board meetings
- ☒ Review copies of Board meeting minutes
- ☐ Keep a register of Board vacancies/composition
- ☐ Other

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- ☒ Annually
- ☒ Semiannually
- ☒ Quarterly
- ☒ Monthly
- ☐ Other

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under [Section 676\(b\)\(10\)](#) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

Note: This response will link with the corresponding assurance, item 14.10.

The State will review by-laws and policies of all eligible entities during both desk and on-site monitorings.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under [Section 676B\(b\)\(2\)](#) of the CSBG Act. ☐ Yes ☒ No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

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SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

NA

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

During monitoring visits, the State reviews client files to ensure income eligibility requirements are met in relation to the services provided.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

During monitoring visits, the State reviews client files to ensure income eligibility requirements are met in relation to the services provided.

Section 13: Results Oriented Management and Accountability (ROMA) System

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SECTION 13

Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



The Results Oriented Management and Accountability (ROMA) System



Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act



An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

These policies will be developed over the next year.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.



CSBG National Performance Indicators (NPIs)



NPIs and others



Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

The State provides training and technical assistance to Eligible Entities. The State also participates in the regional RPIC calls.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

Note: This response will also link to the corresponding assurance, Item 14.12.

This question is included in both the on-site and desk monitoring tools. Eligible entities are required to provide verifiable examples of how data is being used to improve service delivery. Eligible entities are provided feedback both individually and as a whole during on-site visits and at State Association meetings and conferences.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

The grant agreement between the State and each Eligible Entity requires that grantees meet all federal and state requirements of the award, including submission of reports and date. The State notifies Eligible Entities of the deadline for submission of the CAP Plan and tracks submission of CAP plans from each Agency.

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

The grant agreement between the State and each Eligible Entity requires that grantees meet all federal and state requirements of the award, including submission of reports and date. The State notifies Eligible Entities of the deadline for submission of the community needs assessment and tracks submission of community needs assessments from each Agency. This is also part of the monitoring tool for on-site monitoring visits.

Section 14: CSBG Programmatic Assurances and Information Narrative

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SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

(i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) to secure and retain meaningful employment;

(iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;

(iv) to make better use of available income;

(v) to obtain and maintain adequate housing and a suitable living environment;

(vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;

(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

(ii) after-school child care programs;

The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in [section 675C\(b\)](#) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation

14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."

14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;
Through a Notice of Funding Availability (attached) the State outlines eligible activities in accordance with section 676C(b).
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.</i>
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.</i>
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities. Through a Notice of Funding Availability (attached) the State outlines eligible activities in accordance with section 676C(a).
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."
The State will assure that funds are used for eligible activities through the evaluation of the Community Action plans submitted by each eligible entity, the Community Needs assessment, and on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities. Through a Notice of Funding Availability (attached) the State outlines eligible activities in accordance with section 676C(b)(4).
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.</i>
State Coordination/Linkages and Low-income Home Energy Assistance
14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.</i>
Federal Investigations
14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
Funding Reduction or Termination
14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>
Coordination with Faith-based Organizations, Charitable Groups, Community Organizations
14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.</i>

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

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By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

After assurance select a check box:

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By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76,

Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

 3. For grantees other than individuals, Alternate I applies.

 4. For grantees who are individuals, Alternate II applies.

 5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);.

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

15.2. Drug-Free Workplace Requirements

After assurance select a check box:

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By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 9. Nothing contained in the foregoing shall be construed to require establishment of a

system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart

9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:

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By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:

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By checking this box, the State CSBG authorized official is providing the certification set out above.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.